

FSA Integration Program
United States Department of Education
Federal Student Aid



R 2.0 Resubmission

Task Order #116

Version 1.0

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Revision History

Date	Version	Description	Author
3/3/2003	1.0	Resubmission design based on requirements added to eZ-Audit release 2.0	Kevin Rowland

AS-IS RESUBMISSION PROCESS	3
ANNUAL SUBMISSIONS.....	3
NON-ANNUAL SUBMISSIONS	3
TO-BE RESUBMISSION PROCESS	3
ANNUAL SUBMISSIONS.....	3
Resubmission Process.....	1
Resubmission Workflow.....	4
NON-ANNUAL SUBMISSIONS.....	5
OUTCOME FROM DESIGN SESSION.....	5

As-Is Resubmission Process

Annual Resubmissions

- Quality Control (QC) receives all annual submission made by institutions and reviews the submission by record type, either Financial Statement (FS) or Compliance Audit (CA).
- If one component of a submission (FS or CA) is found to be incomplete, then that record is dropped from the QC queue and remains in a holding state until its corresponding record is QC'd.
- Once an entire submission has been QC'd and one or both of the records have been deemed incomplete, the Case Management team prompts the institution for resubmission.
- The eZ-Audit system will provide a notification on the "Institutional Home page" alerting the school that their annual submission was marked incomplete.
- The system will replace the "Create Annual submission" link with a "Resubmit Annual submission" link
- When the institution selects the "Resubmit" link, the system will populate the record with the data that was previously submitted. All populated data is editable.
- Once the institution has made the appropriate changes, the annual submission is resubmitted to Quality Control where both portions of the submission must be QC'd again.
- This process is continuous until both the FS and CA are deemed complete.

Non-Annual Resubmissions

- Quality Control (QC) receives all non-annual submission made by institutions and reviews the submission.
- If the record is found to be incomplete then the institution will be required to resubmit the submission.
- The eZ-Audit system will provide a notification on the "Institutional Home page" alerting the school that their non-annual submission was marked incomplete.
- The institution will have to create a new non-annual submission without access to the data previously entered on the submission marked incomplete.
- When submitted, the new non-annual submission is QC'd. This process continues until the non-annual submission is marked complete.

To-Be Resubmission Process

The design of the future Resubmission process has not been finalized. Certain situations can occur in the resubmission process that presents the system with complex issues. The following will present possible solutions to address these complexities. With the aid of the client, a detailed analysis will result in a solution that meets the requirements of Release 2.0 while staying within the scope of the project.

Annual Submissions

Resubmission Process

- Quality Control will determine if a submission is incomplete by examining both the FS and CA portion of a submission record.

- If either portion of a submission is marked incomplete, the institution will be required to resubmit the submission.
- The eZ-Audit system will provide a notification on the “Institutional Home page” alerting the school that their annual submission was marked incomplete.
- The system will replace the “Create Annual submission” link with a “Resubmit Annual submission” link.
- When the institution selects the “Resubmit” link, the system will present the user with the means to resubmit, which is dependent upon the information in the submission that was marked incomplete.
- The system will allow the institution access to change only the portions of a submission marked “incomplete” by the QC for a Resubmission.

The following are different reasons why a submission could be marked incomplete and the resulting information provided to the user for the resubmission process.

Incomplete Portion	Reason Marked Incomplete	Description of Resubmission Template
Financial Statement	Data Entry on the Financial Statements, Statement of Financial Position, and/or the Statement of Activities page was deemed incomplete	<ul style="list-style-type: none"> • The Financial Statements, Statement of Financial Position, and the Statement of Activities page will be populated with previously entered data. This information will be editable. • The Compliance Audit page will display read-only information that was captured in the original submission. • The Checklist page will display all items related to the Compliance Audit information in a read-only format. Items that involve Financial Statement information will require data entry. • The Uploads page will list the previously submitted attachments. The user will not be allowed to delete these attachments. They also will not have the ability to upload additional attachments.
Compliance Audit	Data Entry on the Compliance Audit page was deemed incomplete	<ul style="list-style-type: none"> • The Financial Statements, Statement of Financial Position, and the Statement of Activities page will be populated with previously entered data in a read-only format. • The Compliance Audit page will display editable information that was captured in the original submission. • The Checklist page will display all items related to the Financial Statement information in a read-only format. Items that involve Compliance Audit information will require data entry. • The Uploads page will list the previously submitted attachments. The user will not be allowed to delete these attachments. They also will not have the ability to upload additional attachments.

Complexity arises when the reason the submission was marked incomplete was due to an attachment. The following tables present different options to address this situation.

Incomplete Portion	Reason Marked Incomplete	Format of Uploads in Original Submission	Description of Resubmission Template
Financial Statements	Financial Statement Information in Upload found incomplete	Upload record for each portion of the submission (at least 2 uploads)	<ul style="list-style-type: none"> The Financial Statement (including FP and SOA) and Compliance Audit pages will display original submission data in a read-only format The Checklist page will display all items related to the Compliance Audit information in a read-only format. Items that involve Financial Statement information will require data entry. The Uploads page will list all Compliance Audit attachments but will not provide the option to delete the attachment. This also applies to Corrective Action plan attachments if they exist. The Financial Statement attachments marked incomplete will not be display in the list. The user will be required to upload a new Audited Financial Statements attachment. The remaining attachment options (Compliance Audit, Correction Action Plan, All...) will not be available to the institution. <ul style="list-style-type: none"> Note: If an "Other" attachment was marked incomplete by the Financial Statement QC, then this attachment option will be available to the user and required by the system. This could be along with a new FS attachment, or in lieu of.
Compliance Audit	Compliance Audit Information in Upload found incomplete	Upload record for each portion of the submission (at least 2 uploads)	<ul style="list-style-type: none"> The Financial Statement (including FP and SOA) and Compliance Audit pages will display original submission data in a read-only format The Checklist page will display all items related to the Financial Statement information in a read-only format. Items that involve Compliance Audit information will require data entry. The Uploads page will list all Financial Statement attachments but will not provide the option to delete the attachment. The Compliance Audit attachments marked incomplete will not be display in the list. The user will be required to upload a new Compliance Audit attachment. This is also true for Corrective Action Plan attachments if this type of attachment is required for that particular submission. The remaining attachment options (Audited Financial Statements, All...) will not be available to the institution. <ul style="list-style-type: none"> Note: If an "Other" attachment was marked incomplete by the Compliance Audit QC, then this attachment option will be available to the user and required by the system. This could be along with a new CA attachment, or in lieu of.

Incomplete Portion	Reason Marked Incomplete	Format of Uploads in Original Submission	Description of Resubmission Template
Financial Statements (OPTION #1)	Financial Statement Information in Upload found incomplete	Only one uploaded attachment that contains both the FS and CA (ex of A-133 filing)	<ul style="list-style-type: none"> The Financial Statement (including FP and SOA) and Compliance Audit pages will display original submission data in a read-only format The Checklist page will display all items related to the Compliance Audit information in a read-only format. Items that involve Financial Statement information will require data entry. The Uploads page will not list the "All" attachment that was made with the submission marked incomplete. The user will have the ability to upload any type of attachment.
Financial Statements (OPTION #2)	Financial Statement Information in Upload found incomplete	Only one uploaded attachment that contains both the FS and CA (ex of A-133 filing)	<ul style="list-style-type: none"> The Financial Statement (including FP and SOA) and Compliance Audit pages will display original submission data in a read-only format The Checklist page will display all items related to the Compliance Audit information in a read-only format. Items that involve Financial Statement information will require data entry. The Uploads page will display the "All" attachment that was previously uploaded but will not allow the user to delete the item. The system will only allow the user to make the following attachments, "Audited Financial Statements" and "All".
Financial Statements (OPTION #3)	Financial Statement Information in Upload found incomplete	Only one uploaded attachment that contains both the FS and CA (ex of A-133 filing)	<ul style="list-style-type: none"> The Financial Statement (including FP and SOA) and Compliance Audit pages will display original submission data in a read-only format The Checklist page will display all items related to the Compliance Audit information in a read-only format. Items that involve Financial Statement information will require data entry. The Uploads page will display the "All" attachment that was previously uploaded but will not allow the user to delete the item. The system will not allow the user to attachment another "All" record. The institution will only have the ability to attachment the portion of the original attachment that was marked incomplete, in this case, "Audited Financial Statements".

Resubmission Workflow

- Once the annual submission is resubmitted, the QC will receive the entire submission record
- Only the portion of the submission that was previously marked incomplete (the editable parts of the resubmission template) will have to be QC'd again. The original portion of the annual submission that was marked complete will remain in a holding state and continue with the Case Management workflow once its corresponding record has been QC'd.
- Note – If both the FS and CA records will marked incomplete and resubmitted, then the entire submission will be required to be QC'd.

Option #1

- The resubmission record would contain a new “All” attachment that has both FS and CA information
- Though the CA information on the original submission was marked complete by QC, the entire resubmission, FS and CA records, would have to be QC’d again.

Option #2

- The resubmission record would have the “All” attachment that was uploaded with the incomplete submission along with any new attachments that were made, either “All” or “Audited Financial Statements”.
- The “All” attachment that was uploaded with the original submission would be stored with the CA portion of the resubmission record. This would allow the CA record to remain unchanged from the first submission which would mean that it would not have to be QC’d again.
- The FS portion of the resubmission would have to be QC’d with the attachments that were uploaded during resubmission.

Option #3

- The resubmission record would have the “All” attachment that was uploaded with the incomplete submission along with the new “Audited Financial Statement” attachment.
- Workflow is the same as Option #2

Non-Annual Submissions

- Quality Control (QC) receives all non-annual submission made by institutions and reviews the submission.
- If the record is found to be incomplete then the institution will be required to resubmit the submission.
- The eZ-Audit system will provide a notification on the “Institutional Home page” alerting the school that their non-annual submission was marked incomplete.
- The institution will have the option to create a new non-annual submission or to resubmit the non-annual submission; both links will be provided for the non-annual submission type that was marked incomplete.
- If the user selects to “Resubmit” the non-annual submission, the system will provide previously entered data.
 - If the reason for incomplete was a data entry error, then all pages will be editable.
 - If the reason for incomplete was an attachment error, then the data entry pages will be read-only. The upload page will be editable, along with the Checklist page.
- All non-annual resubmissions will have to be QC’d again because all of these submission types only contain one record type.

Outcome from Design Session

From design sessions conducted with the client, the final solution to the Resubmission segment of Release 2.0 was decided. To handle submissions that were marked incomplete due to an “All” attachment, it was decided that **Option #1** outlined in the design document would be the most effective solution. The user will have the ability to upload any type of attachment during resubmission. To correctly handle the resubmission workflow, both records of the resubmission will have to be QC’d with the new attachments.